



United States
Department of
Agriculture



Cooperative State
Research, Education,
and Extension Service

National Research Initiative Competitive Grants Program

Application Kit



Knowledge For Tomorrow's Solutions

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IMPORTANT CHANGES IN THIS REVISED APPLICATION KIT

There are many changes incorporated into this *NRICGP Application Kit*, some of which have been outlined in the Please Read sections of earlier *NRICGP Program Descriptions*. The following are some of the important procedural and policy changes that are new in this application kit. The descriptions here are merely highlights; be sure to carefully read the appropriate sections within this application kit for detailed guidance and instructions, which take precedence over what is written here.

Resubmitted proposals

Proposals that are resubmissions must respond to the previous submission's panel summary on no more than one page, titled "RESPONSE TO PREVIOUS REVIEW", which is to be placed directly after the Project Summary (Form CSREES-1232). This section no longer is counted within the page limitations for the Project Description.

Table of Contents

A suggested format for the Table of Contents is provided in the Forms section.

Page limitations

New page limitations for the Project Description section were introduced in Fiscal Years (FY) 1997 and 1998. These are now detailed in the Project Description section and in the sections for the Research Career Enhancement Awards (Sabbatical Awards), the Equipment Grants, or the Seed Grants. Read the relevant section before applying.

Prohibition on submission of multiple proposals for one project

As detailed in the Collaborative Arrangements section, only one proposal may be submitted to the NRICGP for a given project and only from the lead institution.

Results from prior NRICGP support

If the Principle Investigator(s) have received NRICGP support in the past five years, information on results from that prior funding is requested. See the Results From Prior NRICGP Support section for further details.

Current and Pending Support

Current and pending support information is now required only for the Principle Investigators as listed on the Application for Funding Cover Page (Form CSREES-661).

Attachment of reprints and preprints

Additions to the Project Description (appendices) are allowed if they are directly germane to the proposed research and are strictly limited to a **total of 2**. This total may include reprints (papers that have been published in peer-reviewed journals) or preprints (manuscripts in press for a peer-reviewed journal, must be accompanied by letter of acceptance from the publishing journal).

NATIONAL RESEARCH INITIATIVE COMPETITIVE GRANTS PROGRAM

GUIDELINES FOR PROPOSAL PREPARATION AND SUBMISSION

SECTION I. OVERVIEW

These guidelines are provided to assist you in preparing a proposal to the National Research Initiative Competitive Grants Program (NRICGP). Please read these guidelines carefully before preparing your submission. **Please also see the current fiscal year NRICGP Program Description for changes to the application procedures described in this kit. Information in the current fiscal year NRICGP Program Description supersedes what is written here.** The forms necessary for completing an application are included in the back of this booklet and may be duplicated.

[These guidelines are based upon the regulations governing the NRICGP, which are contained in 7 CFR Part 3411 (NCRIGP Administrative Provisions, Final Rule). Pursuant to 7 CFR 3411.4(c), if the section and supplemental guidelines herein conflict, the supplemental guidelines take precedence. However, should 7 CFR 3411 be restated herein and conflict with the section, the section takes precedence.]

GENERAL ELIGIBILITY

Eligibility requirements for the NRICGP are as follows: Except where otherwise prohibited by law, State agricultural experiment stations, all colleges and universities, other research institutions and organizations, Federal agencies, private organizations or corporations, and individuals are eligible to apply for and to receive a competitive grant. *Unsolicited proposals will not be considered and proposals from scientists at non-United States organizations will not be accepted.*

[Eligibility is described under Section 2(b) of the Act of August 4, 1965 Act, as amended(7U.S.C.450i(b)), and listed in 7 CFR 3411.3]

In addition to the above, eligibility to receive a

research grant award will be determined by the results of competitive peer evaluation as described in Section III. Only those proposals which are judged to be the most meritorious (within the limit of available funding) can be funded. Further, it must be determined that the applicant is a potentially responsible grantee. To qualify as responsible, an applicant must meet the following standards as they relate to a particular project:

- Adequate financial resources for performance, the necessary experience, organizational and technical qualifications, and facilities, or a firm commitment, arrangement, or ability to obtain such (including any to be obtained through subagreement(s));
- Ability to comply with the proposed or required completion schedule for the project;
- Satisfactory record of integrity, judgment, and performance, in particular, any prior performance under grants and contracts from the Federal government, including filing of Current Research Information System (CRIS) reports and other documents related to the progress of grants;
- Adequate financial management system and audit procedures that provide efficient and effective accountability and control of all property, funds, and other assets; and
- Otherwise qualified and eligible to receive a grant under the applicable laws and regulations.

The Agricultural Research Enhancement Awards (AREA) have some notable differences from these requirements. See the current fiscal year NRICGP Program Description for details.

SECTION II. SUBMISSION REQUIREMENTS

GENERAL

The purpose of a grant application is to persuade the NRICGP and members of the scientific community who provide advice to the NRICGP that the proposed project is important, methodologically sound, and worthy of support under the criteria listed in Section III. Therefore, the proposal must be submitted in response to one of the announced high-priority program areas. The application should be self-contained, should clearly present the merits of the proposed project, and should be written with care and thoroughness. It is important that all essential information for comprehensive evaluation be included. Omissions often result in processing delays and can jeopardize funding opportunities.

In preparing the proposal, applicants are urged to ensure that the name of the principal investigator and, where applicable, the name of the submitting institution are typed at the top of each page. This will permit easy identification in the event that the application becomes disassembled during the review process.

TYPES OF PROPOSALS

There are *THREE MAIN TYPES* of proposals that you may submit to the NRICGP:

New Proposals

If you are submitting a proposal describing a project that has not been previously submitted to the NRICGP, please check "New" in Box 13 (Type of Request) of the Application for Funding cover page (Form CSREES-661). All new applications must be postmarked by the relevant proposal due dates and adhere to the proposal submission requirements contained in Section II. All proposals will be reviewed competitively using the peer evaluation system and selection criteria described in Section III.

Renewal Proposals

If you are submitting a proposal that requests additional funding for a project beyond the period that was approved in an original or amended

award, please check "Renewal" in Box 13 (Type of Request) of the Application for Funding cover page (Form CSREES-661) and indicate the prior USDA award number in the appropriate location in Box 13. Proposals for renewed funding will be treated as new applications, must contain the same information as required for new applications, and additionally must contain a Progress Report (see Section II). **The Progress Report must be included within the 15 pages of the Project Description.** Renewal proposals must be postmarked by the relevant due dates, will be evaluated in competition with other pending applications in the research program area to which they are assigned, and must meet the same scientific standards as new applications. In preparing such a proposal, the applicant should assume that reviewers will not have access to the previous proposal or to other project-related information. The application should be self-contained and prepared as carefully as if it were being submitted for first-time consideration.

Resubmitted Proposals

If you are submitting a proposal in which the project described was previously submitted to the NRICGP but not funded, please check "Resubmission" in Box 13 (Type of Request) of the Application for Funding cover page (Form CSREES-661). The revised proposal should clearly indicate the changes that have been made in the project. Proposals which appear to be resubmissions (regardless of the designation) are regarded as such by the Program and the panel, and compete on the same basis with all other proposals (new, renewal, and resubmitted) submitted to the program at the same time. However, a clear statement acknowledging comments of the previous review, indicating revisions, rebuttals, etc., can positively influence the review of a proposal. Therefore, for resubmitted proposals, *the investigator(s) must respond to the previous submission's review on no more than one page, titled "RESPONSE TO PREVIOUS REVIEW", which is to be placed directly after the Project Summary (Form CSREES-1232).* If desired, additional comments may be included in the text of the Project

Description, subject to the page limitations of that section.

At the time of any award, and at the discretion of the NRICGP, funding may be provided through one of two mechanisms: either for the entire project period, normally one to three years (standard grant), or for one year with a statement of intention to provide additional support the following years in one year increments (continuation grant).

MULTIPLE SUBMISSIONS

Duplicate, essentially duplicate, or predominantly overlapping proposals submitted to more than one program area within the NRICGP (including the programs described under Agricultural Research Enhancement Awards) in any one fiscal year **will be returned without review**. In addition, applicants also may not submit to the NRICGP a proposal that is considered duplicate, essentially duplicate, or predominantly overlapping with a proposal submitted to another CSREES program in the same fiscal year.

FORMAT AND CONTENTS OF PROPOSALS

Please refer to the current fiscal year NRICGP Program Description for changes to this kit.

For purposes of in-depth evaluation as well as for consistency, organization, and clarity, it is important that proposals contain certain information and that they be of similar format. Therefore, all applications submitted must follow the guidelines listed below and be **assembled in the indicated order**.

Proposals not meeting the format guidelines (e.g., font size, page limitations, inclusion of required forms) are subject to being returned without review.

A. CONVENTIONAL PROJECTS

Standard Research Grants

Application For Funding Cover Page (Form CSREES-661)

Each copy of the proposal **must** contain an Application for Funding cover page, which must be assembled as the first page of the application. At least one copy of this form must contain pen-and-ink

signatures as outlined below. In completing this form, please note the following:

- *Title of Proposal (Block 6).* The title of the proposal must be brief (80-character maximum), yet represent the major thrust of the project. Because this title will be used to provide information to those who may not be familiar with the proposed project, highly technical words or phraseology should be avoided where possible. In addition, phrases such as "investigation of" or "research on" should not be used.
- *Program to Which You Are Applying (Block 7).* Enter "NRICGP".
- *Program Area and Number (Block 8).* From among the announced research program areas, choose the program area that is most appropriate to the research project being proposed and insert the name and number in this block. **It is important that only one program area be selected.** Please call the appropriate program director **prior** to writing your proposal to discuss the appropriateness of the proposed work for a particular program. In instances where the appropriateness of the chosen program area may be in question, the final program area assignment will be made by the NRICGP scientific staff. The principal investigator will be informed of any changes in assigned program areas.
- *Principal Investigator(s)/Project Director(s) (PI/PD)(Block 15).* List the name(s) of the proposing principal investigator(s) in this block. If there is more than one investigator, **all must be listed** and **all** must sign the Application for Funding cover page. Co-principal Investigators should be limited to those required for major scientific collaboration; minor collaborators or consultants are more appropriately designated as collaborators (see Collaborative Arrangements section). Only the principal investigator listed in Block 15a will receive direct correspondence from the NRICGP.
- *Phone Numbers (Block 16).* Please list the phone and fax numbers, and the e-mail address (if available) of the principal investigator in this block. In addition, please include a phone number where a message can be left, if different than above.

- *Other Possible Sponsors (Block 22).* List the names or acronyms of **all** other public or private sponsors, including other agencies within USDA, to whom the application, or a substantially similar application, has been or will be sent. The identification of other sponsors must include the name(s) of the program(s) within the sponsoring organization to which the principal investigator(s) has applied or will apply. This information should also be included on the Current and Pending Support form (Form CSREES-663, described below). **In addition, if the application is submitted to another organization after it has been submitted to the NRICGP, the principal investigator must inform the NRICGP program officer immediately.** Failure to accurately and completely identify other possible sponsors will delay the processing of the application.
- *Signatures.* Sign and date the Application for Funding cover page in the places indicated at the bottom of the page. **All proposals must be signed by the proposing principal investigator(s)** and, for those proposals being submitted through institutions or organizations, endorsed by the authorized organizational representative who possesses the necessary authority to commit the applicant's time and other relevant resources [as described in 7 CFR 3411.4(c)(1)]. **Investigators who do not sign the Application for Funding cover page will not be listed on the grant document in the event an award is made. Applications that do not contain the signature of the authorized organizational representative cannot be considered for support. The exception to the requirement for the authorized organizational representative's signature is for an application submitted with an individual as the legal recipient, such as for a postdoctoral fellowship.**

Table of Contents

A Table of Contents, itself unpaginated, should be placed immediately after the Application for Funding cover page (Form CSREES-661). This table should direct the reader to the pages for all sections of the proposal, beginning with the Project Description on page 1. A suggested format is supplied in the forms section of this document.

Project Summary (Form CSREES-1232)

The proposal must contain a Project Summary form (Form CSREES-1232) which must be assembled as the third page of the proposal (immediately after the Table of Contents) and should not be numbered. The names and institutions of all principal and co-investigators should be listed on this form (if space is insufficient, please enter "see attached" in this space and provide this information on a separate sheet immediately following the Project Summary form in the proposal). The project summary itself **MUST** fit within the space indicated (approximately 250 words). The summary is *not* intended for the general reader; consequently, it may contain technical language comprehensible by persons in disciplines relating to the food and agricultural sciences. The project summary should be a self-contained, specific description of the activity to be undertaken and should focus on:

- Overall project goal(s) and supporting objectives;
- Plans to accomplish project goal(s); and
- Relevance of the project to potential long-range improvement in and sustainability of U.S. agriculture or to one or more of the research purposes. These purposes are described under Applicable Regulations in the NRICGP Program Description [and are contained in section 1402 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (7 U.S.C. 3101)].

The importance of a concise, informative project summary cannot be overemphasized.

Response to Previous Review (if resubmission)

For the content of this section, see the *Resubmitted Proposals* paragraph in the *Types of Proposals* section found earlier in this document.

Project Description

The written text *may not exceed 15 single- or double-spaced pages of written text and may not exceed a total of 20 pages including figures and tables.* The proposal should be assembled so that the Project Description immediately follows the Project Summary form (or Response to Previous Review, if applicable). To clarify page limitation requirements, page

numbering for the Project Description should start with 1, and should be placed on the bottom of the page. Figures and tables are not included in the 15 page limitation. All proposals are to be submitted on standard 8-1/2" x 11" paper with **typing on one side of the page only**. In addition, margins must be at least 1", type size must be 12 *point* (equivalent to this type size for some printers is 10 *pitch* or 10 *cpi*, which is also acceptable), no more than 6 lines per inch, and there should be no page reductions. Applicants should include **original** illustrations (photographs, color prints, etc.) in all copies of the proposal. The project description must contain the following components:

- *Introduction.* A clear statement of the long-term goal(s) and supporting objectives or research questions of the proposed project should be included. The most significant published work in the field under consideration, including the work of key project personnel on the current application, should be reviewed. The current status of research in this field of science should also be described. Preliminary data pertinent to the proposed research should be included in this section. All work cited, including that of key personnel, should be referenced.
- *Progress Report.* If the proposal is a renewal of an existing project supported under this program, include a clearly marked progress report describing results to date from the previous award. In addition, the progress report must be **limited to three pages** (within the 15-page limit) and should contain the following information:
 - ▶ A comparison of actual accomplishments with the objectives established for the previous award;
 - ▶ The reasons established objectives were not met, if applicable; and
 - ▶ A listing of any publications resulting from the award. Copies of no more than 2 preprints or reprints may be appended to the proposal (see section on Additions to Project Description).
- *Rationale and Significance.* Concisely present the rationale behind the proposed research. The objectives' specific relationship to the potential long-range improvement in and sustainability of

U.S. agriculture or to one or more of the research purposes should be shown clearly. These purposes are described under Applicable Regulations in the NRICGP Program Description [and are contained in section 1402 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (7 U.S.C. 3101)]. Any novel ideas or contributions that the proposed project offers should also be discussed in this section.

- *Research Methods.* The hypotheses or questions being asked and the methodology being applied to the proposed project should be stated explicitly. Specifically, this section must include:
 - ▶ A description of the investigations and/or experiments proposed in the sequence in which the investigations or experiments are to be performed;
 - ▶ Techniques to be used in carrying out the proposed project, including the feasibility of the techniques;
 - ▶ Results expected;
 - ▶ Means by which experimental data will be analyzed or interpreted;
 - ▶ Means of applying results or accomplishing technology transfer, where appropriate;
 - ▶ Pitfalls that may be encountered;
 - ▶ Limitations to proposed procedures; and
 - ▶ A tentative schedule for conducting major steps involved in these investigations and/or experiments.

In describing the experimental plan, the applicant must explain fully any materials, procedures, situations, or activities which may be hazardous to personnel (whether or not they are directly related to a particular phase of the proposed project), along with an outline or precautions to be exercised to avoid or mitigate the effects of such hazards.

*Note: The sections detailed below are **not** included in the page limitations for the Project Description section.*

References to Project Description

All references cited should be complete, **including titles and all co-authors**, and should conform to an accepted journal format.

Facilities and Equipment

All facilities and major items of equipment that are available for use or assignment to the proposed project during the requested period of support should be described. In addition, items of nonexpendable equipment necessary to conduct and successfully conclude the proposed project should be listed (including dollar amounts), and, if funds are requested for their acquisition, justified on a separate sheet of paper and attached to the budget.

Collaborative Arrangements

If the nature of the proposed project requires collaboration or subcontractual arrangements with other research scientists, corporations, organizations, agencies, or entities, the applicant must identify the collaborator(s) and provide a full explanation of the nature of the collaboration. Evidence (i.e., letters of intent) should be provided to assure peer reviewers that the collaborators involved have agreed to render this service.

When a project requests funds for multiple institutions, a lead institution must be designated. Only one proposal may be submitted for the project and only from the lead institution. Other institutions may be designated as subcontractors. Proposals with Application for Funding forms (Form CSREES-661) from more than one institution are not permitted and will be returned without review. Identical proposals submitted by different investigators from different institutions are also not permitted and will be returned without review.

Vita and Publication List

To assist peer reviewers in assessing the competence and experience of the proposed project staff, all personnel who will be involved in the proposed project must be identified clearly. For each principal investigator listed in block 15 of the Application Cover Page, for all collaborators and other senior personnel who expect to work on the project in a significant fashion (e.g., expectation of co-authorship

on ensuing publications), whether or not funds are sought for their support, and all subcontractors, the following should be included:

- **Curriculum Vita (C.V.).** The C.V. should be limited to a presentation of academic and research credentials, e.g., educational, employment and professional history, and honors and awards. Unless pertinent to the project, do not include meetings attended, seminars given, or personal data such as birth date, marital status, or community activities. The C.V. shall be no more than 2 pages each in length, **excluding publications listings**;
- **Publication List.** A chronological list of **all** publications in *refereed journals* during the past *five years*, including those in press, must be provided for each professional project member for whom a curriculum vitae is provided. Also list only those *non-refereed* technical publications that have *relevance* to the proposed project. All authors should be listed in the same order as they appear on each paper cited, along with the title and complete reference as these usually appear in journals.

Conflict of Interest List (Form CSREES-1233)

A separate Conflict-of-Interest List form (Form CSREES-1233) must be submitted for each investigator for whom a C.V. is required (see above). This form is necessary to assist program staff in excluding from proposal review those individuals who have conflicts of interest with the project personnel in the grant proposal. The NRICGP must be informed of additional conflicts-of-interest that arise after the proposal has been submitted.

Instructions below are reiterated on Form CSREES-1233.

For each investigator (and other personnel as described in the program description), list **ALPHABETICALLY** the full names of **only** the individuals for each category. Other investigators working in the applicant's specific research area are deemed **not** to be a conflict-of-interest for the applicant unless those investigators fall within one of the categories listed below. Additional pages may be used as necessary. ***A conflict of interest list must be submitted before a proposal is considered complete.***

Inclusion of a C.V. or publication list in lieu of Form CSREES-1233 is not sufficient.

- **All** collaborators on research projects within the past four years, including current and planned collaborations;
- **All** co-authors on publications within the past four years, including pending publications and submissions;
- **All** persons in your field with whom you have had a consulting, financial arrangement, or other conflict-of-interest within the past four years;
- **All** thesis or postdoctoral advisees/advisors within the past four years.

Results from Prior NRICGP Support

If any of the PI(s) have received NRICGP support in the past five years, information on results from that prior funding is required. This information will be used in the review of the proposal and is limited in length to one page per award. If the proposal being submitted is for renewed support, provision of the Progress Report (see Project Description) is sufficient and information for that particular award need not be repeated in this section. For each award, list the NRICGP award number, the amount and period of support, the title of the project, a summary of the results of the completed work, the long-term effects of these results, and the publications resulting from the NRICGP award.

Budget (Form CSREES-55)

A detailed budget is required for each year of requested support [as described in 7 CFR 3411.4(c)(8)]. In addition, a summary budget is required detailing requested support for the overall project period, *which is not to exceed five years in duration.*

Funds may be requested under any of the categories listed, provided that: the item or service requested is identified as necessary for successful conduct of the proposed project, is allowable under applicable Federal cost principles, and is not prohibited under any applicable Federal statute or regulation.

Salaries of faculty members and other personnel who will be working on the project may be requested in proportion to the effort they will devote to the project.

Section 2(b)(7) of the Act of August 4, 1965, as amended, prohibits the use of funds under this program for the renovation or refurbishment of research spaces, purchases or installation of fixed equipment in such spaces, or for the planning, repair, rehabilitation, acquisition, or construction of a building or a facility. In addition, Section 2(b)(8) of the Act of August 4, 1965, as amended, requires that all grants authorized by Section 2(b)(3)(D) of the same Act awarded under this part shall be used without regard to matching funds or cost sharing.

Congress has prohibited CSREES from using the funds available for the NRICGP to pay indirect costs exceeding 14 per centum of the total Federal funds provided under each award on competitively-awarded research grants. Although this limitation is not expected to be changed in the foreseeable future, this limitation is renewed annually. Therefore, please check the NRICGP Program Description for the current fiscal year for any changes to this policy.

Budget Justification

All salaries and wages, nonexpendable equipment, foreign travel, subcontracts, and "All Other Direct Costs" for which support is requested **must be** individually listed (with costs) and justified on a separate sheet of paper and placed immediately behind Form CSREES-55. Subcontracts must be indicated on a separate Form CSREES-55.

Current and Pending Support (Form CSREES-663)

The information in this section of the proposal provides reviewers with an opportunity to evaluate the contribution the proposed work will make to the investigators' overall research program.

The proposal must list *any other current* public or private research support (including in-house support) to Principle Investigators listed on the Application for Funding Cover Page (Form CSREES-661), whether or not salary support for the person(s) involved is included in the budget. **The NRICGP must be informed of changes in pending grant support that**

arise after the proposal has been submitted. Non-flexible funds--including Principal Investigator and support staff salaries, overhead expenses, and square foot charges for greenhouse, laboratory, and office space--may be excluded when these funds are received through a non-competitive process. Analogous information must be provided for **any pending** proposals, including this proposal, that are now being considered by, or that will be submitted in the near future to, other possible sponsors, including other USDA programs or agencies. *Note that this proposal must be listed in the Pending section of the form.* **In addition to completing the form, investigators also should include a brief statement of research objectives or project summaries for all projects listed in Current and Pending Support (excluding formula funding and intramural support).** A Current and Pending statement for the mentor of postdoctoral applicants should be submitted as documentation of on-going work in the mentor's laboratory. Concurrent submission of identical or similar proposals to other possible sponsors will not prejudice proposal review or evaluation by the Administrator or experts or consultants engaged by the Administrator for this purpose. However, a proposal that duplicates or overlaps substantially with a proposal already reviewed and funded (or that will be funded) by another organization or agency will not be funded under this program.

Assurance Statements (Form CSREES-662)

A number of situations encountered in the conduct of research require special information and supporting documentation before funding can be approved for the project [as described in 7 CFR 3411.4(c)(9)]. If any such situation is anticipated, this information must be included in the proposal. If the project is expected to involve recombinant DNA molecules, human subjects at risk, or experimental vertebrate animals, Form CSREES-662 must be completed and signed according to directions below or directions found on the form and should be included in the proposal at the time of submission.

Recombinant DNA and RNA Molecules. All key personnel identified in a proposal and all endorsing officials of a proposed performing entity are required to comply with the guidelines established by the National Institutes of Health entitled, "Guidelines for Research Involving Recombinant DNA Molecules," as revised. In the

event a project involving recombinant DNA or RNA molecules results in a grant award, a qualified Institutional Biosafety Committee must approve the research before CSREES funds will be released.

Human Subjects at Risk. Responsibility for safeguarding the rights and welfare of human subjects used in any proposed project supported with grant funds provided by the NRICGP rests with the performing entity. Guidance is contained in Public Law 93-348, as implemented by the USDA under 7 CFR Part 1C. The applicant must complete section C "Protection of Human Subjects" of Form CSREES-662, which may require review and approval by an institutional committee. In the event a project involving human subjects results in a grant award, funds will be released only after a qualified Institutional Committee has approved the project.

Experimental Vertebrate Animal Care. The responsibility for the humane care and treatment of any experimental vertebrate animal, which has the same meaning as "animal" in section 2(g) of the Animal Welfare Act of 1966, as amended (7 U.S.C. 2132(g)), used in any project supported with NRICGP funds rests with the performing organization. In this regard, all key personnel associated with any supported project and all endorsing officials of the proposed performing entity are required to comply with applicable provisions of the Animal Welfare Act of 1966, as amended (7 U.S.C. 2131 *et seq.*), and the regulations promulgated thereunder by the Secretary of Agriculture in 9 CFR parts 1, 2, 3, and 4. In this regard, the applicant must submit a statement certifying that the proposed project is in compliance with the aforementioned regulations, and that the proposed project is either under review by or has been reviewed and approved by an Institutional Animal Care and Use Committee (IACUC). Grant funds from a possible award will not be released until the project has been approved by an IACUC. In the event a project involving the use of living vertebrate animals results in a grant award, funds will be released only after a qualified Institutional Animal Care and Use Committee has approved the project.

Proposing scientists who lack organizational affiliation or whose organization finds it impractical to maintain

the required institutional committee may wish to negotiate with a local university or other research organization to have this service performed for them.

Questions specifically related to the completion of Form CSREES-662 should be directed to the CSREES Office of Extramural Programs, Grants Management Branch at (202) 401-5050.

Certifications Regarding Debarment and Suspension, Drug-Free Work Place, and Lobbying

By signing the Application For Funding cover page (Form CSREES-661), applicants are providing the certifications required by one of the Departmental regulations described in 7 CFR 3411.8. *Submission of the individual forms found in the back of this booklet is not required* (Forms AD-1047, 1049, 1050, and the Certification Regarding Lobbying). For additional information, refer to the certification at the bottom of Form CSREES-661.

Form AD-1048 must be completed by a subcontractor or consultant and retained by the grantee.

Questions specifically related to the completion of the above certifications should be directed to the CSREES Office of Extramural Programs, Grants Management Branch at (202) 401-5050.

National Environmental Policy Act Exclusions Form (Form CSREES-1234)

As outlined in CSREES's implementing regulations of the National Environmental Policy Act of 1969 (NEPA) [7 CFR Part 3407], environmental data or documentation for the proposed project is to be provided to CSREES in order to assist CSREES in carrying out its responsibilities under NEPA. These responsibilities include determining whether the project requires an Environmental Assessment or an Environmental Impact Statement or whether it can be excluded from this requirement on the basis of several categorical exclusions listed in 7 CFR 3407. In this regard, the applicant should review the categories defined for exclusion to ascertain whether the proposed project may fall within one or more of the exclusions, and should indicate if it does so on the National Environmental Policy Act Exclusions Form (Form CSREES-1234). The information submitted in association with NEPA compliance should be identified in the Table of Contents as "NEPA

Considerations" and Form CSREES-1234 and supporting documentation **should be placed at the back of the proposal.**

The following Categorical Exclusions apply:

(1) Department of Agriculture Categorical Exclusions

- (i) Policy development, planning and implementation which are related to routine activities such as personnel, organizational changes, or similar administrative functions;
- (ii) Activities which deal solely with the functions of programs, such as program budget proposals, disbursements, and transfer or reprogramming of funds;
- (iii) Inventories, research activities, and studies, such as resource inventories and routine data collection when such actions are clearly limited in context and intensity;
- (iv) Educational and informational programs and activities;
- (v) Civil and criminal law enforcement and investigative activities;
- (vi) Activities which are advisory and consultative to other agencies and public and private entities, such as legal counseling and representation; and
- (vii) Activities related to trade representation and market development activities abroad.

(2) CSREES Categorical Exclusions.

Based on previous experience, the following categories of CSREES actions are excluded because they have been found to have limited scope and intensity and to have no significant individual or cumulative impacts on the quality of the human environment:

- (i) The following categories of research programs or projects of limited size and magnitude or with only short-term effects on the environment:

(a) Research conducted within any laboratory, greenhouse, or other contained facility where research practices and safeguards prevent environmental impacts;

(b) Surveys, inventories, and similar studies that have limited context and minimal intensity in terms of changes in the environment; and

(c) Testing outside of the laboratory, such as in small isolated field plots, which involves the routine use of familiar chemicals or biological materials.

(ii) Routine renovation, rehabilitation, or revitalization of physical facilities, including the acquisition and installation of equipment, where such activity is limited in scope and intensity.

Even though the applicant considers that a proposed project may fall within a categorical exclusion, CSREES may determine that an Environmental Assessment or an Environmental Impact Statement is necessary for a proposed project should substantial controversy on environmental grounds exists or if other extraordinary conditions or circumstances are present that may cause such activity to have a significant environmental effect.

Additions to Project Description

Each project description is expected by the Administrator, the members of peer review groups, and the relevant program staff to be complete without the need to refer to additional materials. However, additions to the Project Description (appendices) are allowed if they are directly germane to the proposed research and are strictly limited to a **total of 2**. This total may include reprints (papers that have been published in peer-reviewed journals) or preprints (manuscripts in press for a peer-reviewed journal, must be accompanied by letter of acceptance from the publishing journal).

Manuscripts sent in support of the proposal should be single-spaced and printed on both sides of the page. Each manuscript must be identified with the name of the submitting organization, the name(s) of the principal investigator(s), and the title of the proposal, and be securely attached to each copy of the

proposal. **Staff of the NRICGP will not collate applicant proposals or proposal addenda.**

Information may not be appended to a proposal to circumvent page limitations prescribed for the project description. Extraneous materials will not be used during the peer review process.

Research Conference Applications

Submit proposals requesting support for research conferences to the appropriate research program area described in the NRICGP Program Description for the current fiscal year by the designated deadline for that particular program area. **Applicants considering submission under this category are strongly advised to consult the appropriate NRICGP staff before preparation and submission of the proposal.** The application should include:

- An Application for Funding cover page (Form CSREES-661), appropriately completed and signed;
- The Project Summary Page (Form CSREES-1232) stating the objectives of the research conference, symposium, or workshop, as well as the proposed location and probable inclusive date(s) of the conference;
- A justification for the meeting;
- Names and organizational affiliations of the chairperson and other members of the organizing committee;
- A proposed program (or agenda) for the conference, including a listing of scheduled participants and their institutional affiliations;
- The method of announcement or invitation that will be used;
- A curriculum vitae for the submitting project director(s) and a brief listing of relevant publications (each vitae and publications listing, combined, should not exceed three (3) pages);
- A conflict of interest list (Form CSREES-1233) for each investigator who must submit a CV;
- An estimated total budget (Form CSREES-55)

for the conference, together with an itemized breakdown of all support requested from the NRICGP. The budget for the conference may include an appropriate amount for transportation and subsistence costs for participants and for other conference-related costs;

- A Current and Pending Support statement (Form CSREES-663) as described in 7 CFR 3411.4(c)(10);
- Appropriate assurance statements, certifications, and National Environmental Policy Act Exclusions Form (Form CSREES-1234) (see sections above).

B. AGRICULTURAL RESEARCH ENHANCEMENT AWARDS (AREA) APPLICATIONS

Postdoctoral Fellowships

See the current fiscal year NRICGP Program Description for eligibility requirements.

Submit proposals requesting support for postdoctoral fellowships to **the appropriate research program area described in the current fiscal year NRICGP Program Description by the designated deadline for that particular program area.** Such proposals may be submitted either directly by the individual or through the mentor's institution. The postdoctoral applicant must be the sole principal investigator listed on the proposal. Applications should contain all of the components of and be assembled in the order described for a Standard Research Project Grant under "Format and Content." **Indicate on the Project Summary Page that this is a Postdoctoral Fellowship Application.**

Applications also should include:

- The Application for Funding cover page (Form CSREES-661). If the proposal is submitted through an institution, Form CSREES-661 must be endorsed by the authorized organizational representative who possesses the necessary authority to commit the applicant's time and other relevant resources [as described in 7 CFR 3411.4(c)(1)]. If the proposal is submitted by the individual instead of through an institution,

Form CSREES-661 should be signed only by the proposing postdoctoral applicant.

- Documentation that arrangements have been made with an established investigator to serve as mentor. *The letter also must provide assurance that the proposed project initiates the postdoctoral student's independent research program. Although the project may fit in the context of the mentor's existing research area, it should not simply be an extension of ongoing projects in the mentor's laboratory.*
- Documentation that arrangements have been made for the necessary facilities, space, and materials for conduct of the research.
- Documentation from the host institution's authorized organizational representative indicating that the host institution concurs with the above arrangements. Postdoctoral applicants from Federal laboratories must notify the appropriate regional office.
- The postdoctoral applicant's and the scientific mentor's CV and Conflict of Interest List (Form CSREES-1233).
- A budget form (Form CSREES-55) signed only by the postdoctoral applicant for individual applications or by the submitting institution for institutional applications. The budget is limited to the total award amount indicated in the Postdoctoral Fellowships eligibility section of the current year NRICGP Program Description and to two year's duration. Funds should be requested primarily for salary support although other expenditures (e.g., supplies, travel, and publication) are allowable costs if properly justified. An institutional allowance (not to exceed the amount specified in the current year NRICGP Program Description) may be requested within the total award amount (this should be included under item I, "Other Direct Costs").
- The Current and Pending Support (Form CSREES-663) for both the postdoctoral applicant and the scientific mentor.
- Postdoctoral fellowship applicants whose research requires a Form CSREES-662 (see

section *Assurance Statements* under Standard Research Grants), as applicable, must have their project reviewed by the appropriate committee(s) at the institution where the research will be conducted. Form CSREES-662 must be signed by an authorized organizational representative of that institution (see also the *Assurance Statements* section concerning the role of other institutions in performing this service).

- By signing the Application for Funding cover page (Form CSREES-661), applicants are providing the certifications required by one of the Departmental regulations described in 7 CFR 3411.8. *Submission of the individual forms found in the back of this booklet is not required* (Forms AD-1047, 1049, 1050, and the Certification Regarding Lobbying). For additional information, refer to the certification at the bottom of Form CSREES-661 and the section discussing these certifications under Standard Research Grants).
- A National Environmental Policy Act Exclusions Form (Form CSREES-1234).

New Investigator Awards

See the New Investigator section in the current fiscal year NRICGP Program Description for eligibility requirements.

Research proposal applications from new investigators should be **submitted under the appropriate program area identified in the current fiscal year NRICGP Program Description by the designated deadline for that particular program area.** Applications should contain all of the components of and be assembled in the order described for a Standard Research Project Grant under "Format and Content." **Indicate on the Project Summary Page (Form CSREES-1232) that this is a New Investigator Application.**

Strengthening Awards

(1) Research Career Enhancement Awards (Sabbatical Awards):

See Section 80.1, Research Career Enhancement Awards (Sabbatical Awards), in the current fiscal

year NRICGP Program Description for eligibility requirements.

Applications from eligible faculty wishing to enhance their research capabilities through sabbatical leaves are encouraged and should be submitted to the Research Career Enhancement Program. Proposals should originate through the applicant's home institution and ***an original and 10 copies be submitted by the Research Career Enhancement Awards (Sabbatical Awards) deadline date found in the Program Description.*** The following guidelines apply:

- An Application For Funding cover page (CSREES-661) completed as described in the guidelines under "Format and Contents of Proposals" for Standard Research Grants herein. Indicate Program Area 80.1 in Block 8.
- Project Summary Page (Form CSREES-1232) indicating overall project goals and supporting objectives. **Indicate on the Project Summary Page that this is a Research Career Enhancement Award application.**
- Sabbatical description (**limited to five (5) single-or double-spaced pages of written text and to a total of 7 pages including figures and tables**):
 - ▶ A general description of the research interests and goals of the applicant in order to provide perspective for the proposal.
 - ▶ A description of the research project to be pursued while on the sabbatical leave.
 - ▶ A statement of how the proposed activities will serve to enhance the scientific research capabilities of the applicant.
 - ▶ A statement of future research goals and objectives once the sabbatical is complete and how the sabbatical will enable the applicant to pursue these goals.
- Curriculum Vita, Publication List (including titles), and Conflict of Interest List (Form CSREES-1233) for the applicant, the scientific host and any other personnel whose qualifications merit consideration in the

evaluation of the proposal. Follow detailed instructions for these items provided under Standard Research Project Grants.

- A letter from the scientific host indicating willingness to serve in this capacity, and a description of the host's contribution to the proposed activities both scientifically and with regard to use of facilities and equipment.
- A statement signed by the Department Head or equivalent official at the host institution indicating a commitment to provide research space and facilities for the period of the applicant's presence.
- Budget (Form CSREES-55), Budget Justification, and Current and Pending Support (CSREES-663) as outlined in the guidelines under "Format and Contents of Proposals" for Standard Research Grants herein. (Note that the budget should be limited to one year's salary and funds for materials and supplies.)
- Applicants whose research requires a Form CSREES-662 (see section *Assurance Statements* under Standard Research Grants), if applicable, must have their project reviewed and approved by the appropriate committee(s) at the institution where the research will be conducted. The CSREES-662 must be signed by an authorized organizational representative of that institution (see also the end of the *Assurance Statements* section concerning the role of other institutions in performing this service).
- By signing the Application For Funding cover page (Form CSREES-661), applicants are providing the certifications required by one of the Departmental regulations described in 7 CFR 3411.8. *Submission of the individual forms found in the back of this booklet is not required* (Forms AD-1047, 1049, 1050, and Certification Regarding Lobbying). For additional information, refer to the certification at the bottom of Form CSREES-661 and the section discussing these certifications under Standard Research Grants).
- A National Environmental Policy Act Exclusions Form (Form CSREES-1234).

(2) Equipment Grants:

See Section 80.2, Equipment Grants, in the current fiscal year NRICGP Program Description for eligibility requirements.

Applications requesting assistance in purchasing equipment must be submitted to the Equipment Grants Program. **An original and 10 copies of the proposal should be submitted by the Equipment Grants Program deadline date found in Program Description.** Proposals for Equipment Grants should include the following:

- An Application for Funding cover page (CSREES-661) completed as described in the guidelines under "Format and Contents of Proposals" for Standard Research Applications herein. Indicate Program Area 80.2 in Block 8.
- Project Summary Page (Form CSREES-1232) indicating equipment sought and the overall project goals for its use. **Indicate on the Project Summary Page that this is an Equipment Grant application.**
- A general description of the research project(s) for which the equipment will be used, how the equipment will fit into or enhance the research program, and how the equipment will allow the applicant to become competitive for future funding or move into new research areas. **This description is limited to five (5) single-or double-spaced pages of written text and to a total of 7 pages including figures and tables.**
- A brief description of other similar or complementary equipment available to the investigator at the institution and why the requested equipment is necessary.
- A Curriculum Vita, a list of publications (including titles), and a Conflict of Interest List (Form CSREES-1233) for the applicant and other major users of the equipment. Follow detailed instructions for these items provided under "Format and Contents" for Standard Research Projects herein.
- Budget (Form CSREES-55 and Budget Justification). Justification should: describe the instrument requested, including the

manufacturer and model number if known; provide a detailed budget breakdown of the equipment and accessories required; indicate the amount of funding requested from USDA for each item of equipment; and provide a statement that the necessary **non-Federal** matching funds will be made available from an institutional or other source. Equipment grant funds may not be used for installation, maintenance, warranty, or insurance expenses, nor may these costs be part of the 50% matching funds. The total amount requested from USDA shall not exceed 50% of the total equipment cost or \$50,000, whichever is less. Indirect costs are not permitted on Equipment Grants.

- Current and Pending Support (Form CSREES-663), as outlined in the supplemental guidelines under "Format and Contents" for Standard Research Grants herein. If the applicant has significant funding from other sources, a justification must be given for how this equipment will strengthen the applicant's research program or institution.
- By signing the Application For Funding cover page (Form CSREES-661), applicants are providing the certifications required by one of the Departmental regulations described in 7 CFR 3411.8. *Submission of the individual forms found in the back of this booklet is not required* (Forms AD-1047, 1049, 1050, and Certification Regarding Lobbying). For additional information, refer to the certification at the bottom of Form CSREES-661 and the section discussing these certifications under Standard Research Grants).
- A National Environmental Policy Act Exclusions Form (Form CSREES-1234).

A request for computer equipment is allowed only if it is to be used specifically for scientific purposes. Purchase of a computer primarily for use as a word processor or for other administrative purposes is not permitted.

(3) Seed Grants:

See Section 80.3, Seed Grants, in the current fiscal year NRICGP Program Description for eligibility requirements.

Applications from eligible faculty wishing to collect preliminary data should be submitted to the Seed Grant Program. **An original and 10 copies of the proposal should be submitted by the Seed Grants Program deadline date found in the Program Description.** Applications should contain all of the components of and be assembled in the order described for a Standard Research Project Grant under "Format and Content of Proposals". In addition, the following is required:

- Program Area 80.3 should be indicated in Block 8 of the Application for Funding cover page (CSREES-661), and the **Project Summary Page (Form CSREES-1232) should indicate that this is a Seed Grant application.**
- Project Description must be limited to five (5) single- or double-spaced pages of written text and to a total of 7 pages including figures and tables. The description should include all the components of a standard research project grant and should present enough experimental detail to allow adequate evaluation. In order to be competitive, long-term research goals and a statement on how this seed grant will allow the applicant to become competitive for future funding should be included.
- Note that the budget should be limited to a total of \$50,000 (including indirect costs) for two years.

(4) Strengthening Standard Research Project Awards:

See the Strengthening Standard Research Project Awards section in the current fiscal year NRICGP Program Description for eligibility requirements.

Faculty who are eligible for the Strengthening Award Program may wish to apply for a Standard Research Project Award. **Proposals should be directed to the appropriate research program area described in the Program Description for the current fiscal year, by the designated deadline for that particular area.** Applications should contain all of the components and meet all of the format

guidelines (including page limitations) of a Standard Research Project Grant as described under "Format and Content of Proposals" with the following modification:

- Indicate on the Project Summary Page (Form CSREES-1232) that this proposal qualifies as a Strengthening Standard Research Project application.

WHAT TO SUBMIT

An original and 14 copies of the application are required (except for programs 80.1, 80.2, 80.3, for which an original and 10 copies are required). Due to the heavy volume of proposals that are received each year and the difficulty in identifying proposals submitted in several packages, all copies of each proposal must be mailed in a single package. In addition, please ensure that each copy of the proposal is **stapled securely** in the upper left-hand corner. **DO NOT BIND** any of the copies of the proposal, as it will only delay processing.

Every effort should be made to ensure that the proposal contains all pertinent information when originally submitted. Prior to mailing, it is urged that the proposal be compared with the checklist found on the back cover of this booklet.

WHERE TO SUBMIT

To ensure prompt receipt of submitted proposals, use First Class, Express mail, or a courier service. To be considered for funding in any fiscal year, proposals (**an original and 14 copies, except as above**) must be transmitted by the relevant date indicated in the current fiscal year NRICGP Program Description (as indicated by postmark or date on courier bill of lading). Late proposals will be returned without review. **NOTE: Do not submit the proposal to individual program directors and do not submit through your Senator or Representative. These actions could delay the receipt of the application.**

Address for Regular Mail (First Class only):

NRICGP
c/o Proposal Services Unit/OEP/CSREES/USDA
STOP 2245
1400 Independence Ave., SW
Washington, D.C. 20250-2245
Telephone: (202) 401-5048

If you plan to hand-deliver your proposal or use special mail services such as overnight express, the following street address and zip code must be included. Please note that a different zip code than that for regular mail is used. The **date on the courier's bill of lading** must be no later than the **postmark** date indicated in the program announcement for the current fiscal year.

Address for Hand-Delivery or Special Mail Services:

NRICGP
c/o Proposal Services Unit, Office of Extramural Programs
Cooperative State Research, Education, and Extension Service
U.S. Department of Agriculture
Room 303 Aerospace Center
901 D Street, SW
Washington, D.C. 20024

Applicants wishing to submit names of potential reviewers or provide information pertinent to the review of their proposal, should do so in a separate letter mailed directly to the program director (see address below). **DO NOT ATTACH THIS LETTER TO THE PROPOSAL.**

Address for Program Directors (Do not submit proposals to this address):

Program Name or Program Director's Name
USDA/CSREES/NRICGP
STOP 2241
1400 Independence Ave., SW
Washington, D.C. 20250-2241

SECTION III. SCIENTIFIC PEER REVIEW OF APPLICATIONS

REVIEW PROCESS

All grant applications will be acknowledged. If the applicant does not receive an acknowledgment within 60 days of the submission deadline, please contact the program official. Prior to technical examination, a preliminary review will be made for responsiveness to the program solicitation (e.g., relationship of the application to the announced program area). Proposals which do not fall within the guidelines as stated in the program solicitation will be returned to the applicant without review. Written comments will be solicited from *ad hoc* reviewers when required, and individual written comments and in-depth discussions will be provided by the peer review group members prior to recommending applications for funding.

Peer review group members and *ad hoc* reviewers will be selected based upon their training and experience in relevant scientific or technical fields taking into account the following factors:

- The level of formal scientific or technical education and other relevant experience of the individual as well as the extent to which an individual is engaged in relevant research and other relevant activities;
- The need to include as peer reviewers experts from various areas of specialization within relevant scientific or technical fields;
- The need to include as peer reviewers experts from a variety of organizational types (e.g., universities, industry, private consultant(s)) and geographic locations; and
- The need to maintain a balanced composition of peer review groups with regard to minority and female representation and an equitable age distribution.

During the peer evaluation process, extreme care will be taken to prevent any actual or potential conflicts of interest that may have an impact on review or evaluation. Names of submitting institutions and individuals, as well as proposal content and peer evaluations, will be kept confidential among NRICGP staff members and peer reviewers. At the conclusion of the fiscal year, names of peer panelists will be listed

alphabetically in the back of CSREES' annual publication of the *National Research Initiative Competitive Grants Program Abstracts of Funded Research*. Names will not appear in such a way that panelists can be identified with the review of any particular proposal.

[The review process will be conducted in accordance with 7 CFR subparts 3411.11 and 3411.14]

EVALUATION FACTORS

Agricultural research supported under this program shall be designed to, among other things, accomplish one or more of the purposes described under Applicable Regulations in the NRICGP Program Description.

Therefore, in carrying out its review, the peer review group shall take into account the following factors [as specified in 7 CFR 3411.15]:

Standard Research Grants, Postdoctoral Fellowships and New Investigator Awards

The following evaluation factors will be used in reviewing applications for **Standard Research Grants, Postdoctoral Fellowships, and New Investigator Awards**:

- *Scientific merit of the proposal, consisting of:*
 - Conceptual adequacy of hypothesis or research question;
 - Clarity and delineation of objectives;
 - Adequacy of the description of the undertaking and suitability and feasibility of methodology;
 - Demonstration of feasibility through preliminary data;
 - Probability of success of project; and
 - Novelty, uniqueness, and originality.
- *Qualifications of proposed project personnel and adequacy of facilities.*

- ▶ Training and demonstrated awareness of previous and alternative approaches to the problem identified in the proposal, and performance record and/or potential for future accomplishments;
- ▶ Time allocated for systematic attainment of objectives;
- ▶ Institutional experience and competence in subject area; and
- ▶ Adequacy of available or obtainable support personnel, facilities, and instrumentation.
- *Relevance of the project to long-range improvements in and sustainability of U.S. agriculture or to one or more of the research purposes outlined in Applicable Regulations of the NRICGP Program Description.*

However, because Section 2(b)(10) of the Act of August 8, 1965, as amended, requires not less than 30% of the funds appropriated to carry out section 2(b) to be available for research conducted by multidisciplinary teams and requires not less than 40% of the funds appropriated to carry out section 2(b) to be available for mission-linked research, CSREES reserves the right to reevaluate standard research grant proposals to attain these amounts.

Conference Applications

In evaluating proposals for the support of research conferences, the following factors will be considered:

- *Relevance of the proposed conference to agriculture in the U.S. and the appropriateness of the conference in fostering scientific exchange.*
- *Qualifications of organizing committee and appropriateness of invited speakers to the topic areas being covered.*
- *Uniqueness and timeliness of conference.*
- *Appropriateness of budget request.*

Strengthening Awards

The following evaluation factors will be used in reviewing applications for **Research Career Enhancement Awards, Equipment Grants, and Seed Grants**:

- *The merit of the proposed activities or research equipment as a means of enhancing the research capabilities and competitiveness of the applicant and/or institution.*
- *The applicant's previous research experience and background.*
- *The appropriateness of the proposed activities or research equipment for the goals proposed.*
- *Relevance of project to long-range improvements in and sustainability of U.S. agriculture or to one or more of the research purposes outlined in Applicable Regulations of the NRICGP Program Description.*
- *Whether or not the applicant institution is located within a USDA-EPSCoR entity*.*

The evaluation factors used for Standard Research Projects also will apply for **Strengthening Standard Research Project Grants** with the addition of the following factor:

- *Whether or not the applicant institution is located within a USDA-EPSCoR entity*.*

*Please refer to the current fiscal year NRICGP Program Description for the current list of USDA-EPSCoR entities.

PROPOSAL DISPOSITION

When each peer review panel has completed its deliberations, the responsible program staff of the NRICGP will recommend that the project: (a) be approved for support from currently available funds or (b) be declined due to insufficient funds or unfavorable review. Disapproval of an application in one fiscal year will not preclude its reconsideration upon resubmission during subsequent fiscal years (but note the Resubmissions portion of Section II).

The NRICGP reserves the right to negotiate with the

principal investigator or project director and/or with the submitting organization or institution regarding project revisions (e.g., reductions in the scope of work), funding level, or period or method of support prior to recommending any project for funding.

A proposal may be withdrawn at any time before a final funding decision is made regarding the proposal;

however, withdrawn proposals normally will not be returned. One copy of each proposal that is not selected for funding (including those that are withdrawn) will be retained by the NRICGP for a period of one year. The remaining copies will be destroyed.

[Proposal Disposition is described in 7 CFR 3411.5(b)]

SECTION IV. GRANT AWARDS

GENERAL

Within the limit of available funds, the awarding official shall make grants to those responsible, eligible applicants whose proposals are judged most meritorious in the announced program areas under the evaluation criteria and procedures set forth [as described in 7 CFR 3411.6]. *The total period for which a grant is awarded (including all funded and unfunded time extensions) may not exceed 5 years.* The effective date for any pre-award costs count toward the 5-year period.

MANAGEMENT INFORMATION

Specific management and organizational information relating to an applicant shall be submitted on a one-time basis prior to the award of a grant if such information has not been provided previously under this or another program for which the sponsoring agency is responsible. Copies of forms recommended for use in fulfilling the requirements contained in this section will be provided by the Grants Management Branch (GMB) of the Office of Extramural Programs (OEP) once a grant has been recommended for funding.

NOTICE OF GRANT AWARD

A grant award document, containing project-related data, the budget, terms and conditions of grant award, and other necessary information, will be prepared and forwarded to each grantee along with a Notice of Grant Award by the GMB/OEP. In this package, specified materials in the award letter should be signed and returned to GMB of CSREES as soon as possible so that the award can be activated.

For each project funded, CRIS Form AD-416, "Research Work Unit/Project Description-Research Resume" and CRIS Form AD-417, "Research Work Unit/Project Description-Classification of Research" and specific instructions for their completion will be sent to the grantee for completion and return. Grant funds will not be released until the completed forms are received in CSREES.

OBLIGATIONS

As described in 7 CFR 3411.6(e) and taking into account additional information, the following applies. For any grant awarded, the maximum financial obligation of CSREES shall be the amount of funds *authorized* for the award. This amount will be stated on the award instrument and on the approved budget. However, in the event an erroneous amount is stated on the grant award instrument, the approved budget, or any supporting document, CSREES reserves the unilateral right to make the correction and to make an appropriate adjustment in the amount of the award to align with the authorized amount.

Nothing in these guidelines or any program announcement shall obligate CSREES, the Department, or the United States to take favorable action on any application received in response to any announcement, or to support any project at a particular level. Further, neither the approval of any application nor the award of any project grant shall commit or obligate the United States in any way to make any renewal, supplemental, continuation, or other award with respect to any approved application or portion of an approved application. Under no circumstances will an award be made in the event Congress fails to appropriate funds from which obligations may be met.

SECTION V. POST-AWARD ADMINISTRATION

CONDITIONS AND CHANGES

[The guidelines set forth in 7 CFR 3411.7, 8, and 9 apply to this subject area.]

If a grant is awarded, grantees will be required to ensure that all funds are expended in accordance with the authorizing legislation; the terms and conditions of grant award; regulations governing this program (7 CFR Part 3411); Departmental regulations; and the applicable Federal cost principles, all as in effect on the date of grant award. Responsibility for the use and expenditure of grant funds may not be transferred or delegated in whole or in part to another party (even if a grantee enters into a contractual relationship with that party), unless the grant itself is transferred in whole or in part to another party by CSREES. Applicable statutory and regulatory conditions will be incorporated or referenced in all awards.

Authorization to make changes in approved project plans, budget, period of support, etc., will be governed largely by the terms and conditions of grant award. Among other things, these terms and conditions will set forth the kinds of post-award changes that may be made by the grantee and the kinds of changes that are reserved to the NRICGP or to the Authorized Departmental Officer. It is urged that all key project personnel and authorized organizational representatives read them carefully.

RELEASE OF INFORMATION

CSREES receives grant proposals in confidence and will protect the confidentiality of their contents to the maximum extent permitted by law. When a proposal results in a grant, however, it becomes part of the public record and is available to the public upon written request. Copies of proposals (including excerpts from proposals) that are not funded will not be released. Information regarding funded projects will be made available to the extent permitted under the Freedom of Information Act, the Privacy Act, and implementing USDA and CSREES regulations.

Requests to obtain authorized information (and fee schedule relating to the handling of this information), or to obtain information regarding procedures related

to release of grant information should be directed to the National Freedom of Information Act (FOIA), Coordinator, ARS Information Staff, 6303 Ivy Lane, Room 406, Greenbelt, MD 20770; telephone (301) 344-2207.

After final funding decisions, NRICGP staff will send copies of written reviews to the principal investigator but such reviews will not include the identity of the reviewers.

SUPPLEMENTARY INFORMATION

The National Research Initiative Competitive Grants Program is listed in the Catalog of Federal Domestic Assistance under No. 10.206. For reasons set forth in the Final rule-related Notice to 7 CFR Part 3015, Subpart V (48 FR 29115, June 24, 1983), this program is excluded from the scope of Executive Order 12372 which requires intergovernmental consultation with State and local officials.

Pursuant to Federal Regulations found at CFR 1320.21 pertaining to the Paperwork Reduction Act of 1980, the following information is being furnished on the public reporting burden for the collection of information to complete forms contained in this kit. The estimated average burden hours for completing Forms CSREES-661, CSREES-55, CSREES-662, and CSREES-663 is five and one-half (5 1/2) hours per set (OMB Approval No. 0524-0022) and for completing Forms CSREES-1232, CSREES-1233, and CSREES-1234 is one and one-quarter (1 1/4) hours per set (OMB Approval No. 0520-0033). These burden estimates include the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding these burden estimates and/or any other aspect of the collection of information, including suggestions for reducing this burden, to the Department of Agriculture, Clearance Officer, OIRM, Stop 7630, 1400 Independence Ave., SW, Washington, D.C. 20250-7630; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

APPLICATION FOR FUNDING

FOR CSREES USE ONLY

PROGRAM AREA CODE

PROPOSAL CODE

Form CSREES-661 (6/95)

**UNITED STATES DEPARTMENT OF AGRICULTURE
COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE
NATIONAL RESEARCH INITIATIVE COMPETITIVE GRANTS PROGRAM**

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UNITED STATES DEPARTMENT OF AGRICULTURE
COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE
NATIONAL RESEARCH INITIATIVE COMPETITIVE GRANTS PROGRAM

OMB Approved 0524-0033
Expires 5/00

PROPOSAL TYPE

Principal Investigator(s):

PI #1 _____ Institution _____
PI #2 _____ Institution _____
PI #3 _____ Institution _____
PI #4 _____ Institution _____

- ☐ Standard Research Proposal
- ☐ Conference
- ☐ AREA Award
- ☐ Postdoctoral
- ☐ New Investigator
- Strengthening:
- ☐ Career Enhancement
- ☐ Equipment
- ☐ Seed Grant
- ☐ Standard Strengthening

Project Title: _____

Key Words: _____

(Approximately 250 words)

PROJECT SUMMARY

OMB Approved 0524-0033
Expires 5/00

Name: _____

All *co-authors* on publications within the past four years, including pending publications and submissions

All *collaborators* on research projects within the past four years, including current and planned collaborations

All thesis or postdoctoral *advisees/advisors* within the past four years

All persons in your field with whom you have had a *consulting/financial arrangement/other conflict-of-interest* within the past four years

CO-AUTHORS	CO-AUTHORS	COLLABORATORS	ADVISEES/ADVISORS
			OTHER - SPECIFY NATURE

UNITED STATES DEPARTMENT OF AGRICULTURE
COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE
BUDGET

OMB Approved 0524-0022
Expires 5/31/98

ORGANIZATION AND ADDRESS				USDA AWARD NO.	
PRINCIPAL INVESTIGATOR(S)/PROJECT DIRECTOR(S)				Duration Proposed Months: _____ FUNDS REQUESTED BY PROPOSER	Duration Awarded Months: _____ FUNDS APPROVED BY CSREES (If Different)

A. Salaries and Wages	CSREES FUNDED WORK MONTHS				
	Calendar	Academic	Summer		
1. No. of Senior Personnel				\$	\$
a. ____ (Co)-PI(s)/PD(s)					
b. ____ Senior Associates					
2. No. of Other Personnel (Non-Faculty)					
a. ____ Research Associates-Postdoctorate					
b. ____ Other Professionals					
c. Graduate Students					
d. Prebaccalaureate Students					
e. Secretarial-Clerical					
f. Technical, Shop and Other					
Total Salaries and Wages →					
B. Fringe Benefits (If charged as Direct Costs)					
C. Total Salaries, Wages, and Fringe Benefits (A plus B) →					
D. Nonexpendable Equipment (Attach supporting data. List items and dollar amounts for each item.)					
E. Materials and Supplies					
F. Travel					
1. Domestic (Including Canada)					
2. Foreign (List destination and amount for each trip.)					
G. Publication Costs/Page Charges					
H. Computer (ADPE) Costs					
I. All Other Direct Costs (Attach supporting data. List items and dollar amounts. Details of subcontracts, including work statements and budget, should be explained in full in proposal.)					
J. Total Direct Costs (C through I) →					
K. Indirect Costs If Applicable (Specify rate(s) and base(s) for on/off campus activity. Where both are involved, identify itemized costs included in on/off campus bases.)					
L. Total Direct and Indirect Costs (J plus K) →					
M. Other →					
N. Total Amount of This Request →				\$	\$
O. Cost Sharing (If Required Provide Details)					

NOTE: Signatures required only for Revised Budget		This is Revision No.
NAME AND TITLE (Type or print)	SIGNATURE	
Principal Investigator/Project Director		
Authorized Organizational Representative		

INSTRUCTIONS FOR COMPLETING FORM CSREES-55, BUDGET

NOTE: Unless a particular program announcement provides otherwise, each application must contain a budget for each year of support requested and a **cumulative budget** for the full term of requested CSREES support. (Remarks and budget item justifications should be submitted on separate pages following the budget.)

A. Salaries and Wages-Salaries of the principal investigator and other personnel associated directly with the project should constitute direct costs in proportion to their effort devoted to the research. Charges by academic institutions for work performed by faculty members during the summer months or other period outside the base salary period are to be at a monthly rate not in excess of that which would be applicable under the base salary and other provisions of the applicable cost principles.

Award funds may not be used to augment the total salary or rate of salary of project personnel or to reimburse them for consulting or other time in addition to a regular full-time salary covering the same general period of employment.

The submitting organization may request that senior personnel salary data not be released to persons outside the Government. In this case, the item for senior personnel salaries in the formal proposal may be expressed as a single figure and the work-months represented by that amount omitted. If this option is exercised, however, senior personnel salaries and work-months must be itemized in a separate statement, two copies of which should accompany the proposal. This statement must include all of the information requested on CSREES-55 for each person involved. The detailed information will not be forwarded to reviewers and will be held privileged to the extent permitted by law.

Under the **CSREES Funded Work Months** on the Form CSREES-55, show the actual number of months for which salary is being paid by USDA to individuals listed in Items A.1.a & b. (e.g., 2 PI's listed in A.1.a. on a 12-month project. One will spend 100% of time (12 mos.) and one will spend 50% of time (6 mos.) Total workmonths for A.1.a. would be 18 months.)

For other personnel (graduate students, technical, clerical, etc.), only the total number of persons and total amount of salaries per year in each category are required. Salaries requested must be consistent with the regular practices of the institution.

B. Fringe Benefits-If the usual accounting practices of the performing organization provide that the organizational contributions to employee "benefits" (social security, retirement, etc.) be treated as direct costs, award funds may be requested to defray such expenses as a direct cost.

C. Total Salaries and Benefits-

D. Nonexpendable Equipment-Nonexpendable equipment is defined as an item of property which has an acquisition of \$500 or more per unit, an expected life of 2 years or more, and does not lose its identity when joined or made a part of another piece of equipment. Organizations performing research with the support of a CSREES award are expected to have appropriate facilities, suitably furnished and equipped. Only under very unusual circumstances may award funds be requested for office equipment and furnishings, air-conditioning, automatic data processing equipment (ADPE), or other "general purpose" equipment which is usable for other than research purposes. This type of equipment requires special justification and prior approval from Grants Management Branch (GMB), or Agreements, Special, Projects Branch (ASPB) CSREES, as appropriate.

E. Materials and Supplies-The types of expendable materials and supplies required should be indicated in general terms with estimated costs.

F. Travel-The type and extent of travel and its relationship to the research should be briefly specified. Funds may be requested for field work or for travel to scientific meetings.

Travel in Canada, Puerto Rico, or the United States or its possessions is considered domestic travel. All other travel is considered foreign. If foreign travel is planned in connection with the research, the proposal should include relevant information (including countries to be visited) and justification. Travel and subsistence should be in accordance with organizational policy. Irrespective of the organizational policy, allowances for airfare will not normally exceed round trip jet economy air

accommodations. Persons traveling under Federal awards must travel by U.S. flag carriers, if available, unless:

1. The traveler, while enroute, has to wait 6 hours or more and no U.S. flag carrier is available during this period, and
2. The flight by a U.S. flag carrier takes 12 or more hours longer than a foreign air carrier. (Air freight must also be under U.S. flag carriers.)

G. Publication Costs/Page Charges-Costs of preparing and publishing the results of research conducted under the award, including costs of reports, reprints, page charges or other journal costs, and necessary illustrations, may be included.

H. Computer (ADPE) Costs-The cost of computer services, including computer-based retrieval of scientific and technical information may be requested. A justification based on the established computer service rates at the proposing organization should be provided. Reasonable costs of leasing automatic data processing equipment may be requested, if justified.

I. All Other Direct Costs-Other anticipated direct costs not included above should be itemized. Examples are subawards or subcontracts, space rental at research establishments away from the performing organization, and service charges. Reference books and periodicals may be charged to the award only if they are related specifically to the research project.

Proposed subawards or subcontracts should be disclosed in the proposal, including a detailed budget and work statement, so that the award instrument may contain prior USDA authorization, if appropriate.

Consultant services should be included in this section. Applicants normally are expected to utilize the services of their own staff to the maximum extent possible in managing and performing the activities supported by awards. If the need for consultant services is anticipated, the proposal narrative should provide appropriate rationale and the proposal budget should estimate the amount of funds which may be required for this purpose. List the names of consultant(s), the name of their organization(s) and, to the extent possible, a breakdown of the amount being charged to the award (For example: services, per diem, etc.).

J. Total Direct Costs-

K. Indirect Costs-(if allowable) The indirect cost rate(s) negotiated by the awarding organization with the cognizant Federal negotiating agency cannot be exceeded in computing indirect costs for a proposal. Determination of the appropriate indirect cost rate(s) is dependent upon a combination of factors including, but not limited to, the physical location of the work and any statutory limit. The proposal official responsible for Federal business relations should review this part of the proposal to see that it properly describes any particular factors which may have a bearing upon the indirect cost rate(s) applicable to the project. Normally, the rate in effect on the date the proposal is recommended for award by the cognizant CSREES program manager will be used.

If an organization elects to charge a lesser amount or rate for indirect costs, the budget should be so noted. (For example: If a university's rate is 50% of Modified Total Direct Costs and the Total Direct Costs amount is \$20,000, then the university is entitled to \$10,000 for indirect costs, but it elects to only charge \$8,000 to the award. Line K. of the CSREES-55 would appear as follows: 50% of MTDC=\$10,000; Amount Requested=\$8,000). The organization may also elect to charge no indirect costs and utilize all award funds for direct costs. This option should also be indicated on the CSREES-55.

If an organization has not established an indirect cost rate and wishes to charge indirect costs, it should consult GMB/CSREES, which will establish liaison with the cognizant Federal negotiating agency for developing an acceptable indirect cost rate for the awardee.

L. Total Direct and Indirect Costs (J plus K)-

M. Other-Check specific program announcement for use of this line item.

N. Total Amount of This Request-

O. Cost Sharing-Check specific program announcement for its requirement on cost-sharing. A breakdown of the detailed costs which are considered cost shared or contributed should be provided.

UNITED STATES DEPARTMENT OF AGRICULTURE
COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE

OMB Approved 0524-0022
Expires 5/31/98

ASSURANCE STATEMENT(S)

STATEMENT OF POLICY - Safeguarding the rights and welfare of subjects at risk and the proper isolation security of research agents in activities supported by Cooperative State Research, Education, and Extension Service is the responsibility of the institution to which support is provided. In order to provide

for the adequate discharge of this responsibility, USDA policy requires a formal assurance that appropriate committees in each institution will carry out both initial review of proposals and continuing review of supported projects. The Department also requires certification of such reviews.

NOTE: Check appropriate statements, supplying additional information when necessary

1. INSTITUTION	2. TYPE <input type="checkbox"/> New <input type="checkbox"/> Extension <input type="checkbox"/> Revision
	3. CSREES PROJECT NUMBER OR AWARD NUMBER (If Known)
4. TITLE OF PROJECT	5. PRINCIPAL INVESTIGATOR(S)

A. RECOMBINANT DNA OR RNA RESEARCH

☐ Project does not involve recombinant DNA or RNA.

☐ Project involves recombinant DNA or RNA. (Check the applicable statement).

☐ This project has been determined by the local IBC to be exempt from the NIH Guidelines.

☐ This project is under review by the local IBC and a revised Form CSREES-662 will be submitted when the review is completed.

☐ This project has been reviewed by an IBC and was approved on _____ (Date).

This institution agrees to assume primary responsibility for complying with both the intent and procedures of the National Institutes of Health's (NIH) "Guidelines for Research Involving Recombinant DNA Molecules," as revised (see subsection 205(b)(3), Subpart U of the "Uniform Federal Assistance Regulations" (7 CFR Part 3015) and other applicable Federal/State guidelines and regulations.

This responsibility includes:

1. Ensuring that a standing Institutional Biosafety Committee (IBC) reviews proposed projects.
2. Registering with the IBC all experiments involving recombinant DNA and RNA Molecules conducted with the funds provided under this project/grant and complying with the requirements specified in Part II of the NIH Guidelines or any other pertinent guidelines and regulations. IBC's are required to keep records of this research in a form that is available to the U.S. Department of Agriculture (USDA) upon request.

In addition, principal investigators must report the following to the USDA and to their IBC's:

1. New Technical information relating to risks and safety procedures.
2. Serious accidents or releases involving recombinant DNA or RNA.
3. Serious illness of a laboratory worker which may be project related.
4. Other safety problems.

B. ANIMAL CARE

☐ Project does not involve use of vertebrate animals.

☐ Project involves use of vertebrate animals. (Check the applicable statement).

☐ a) The project is in compliance with the Animal Welfare Act of 1966 and 9 CFR Subchapter A (Laboratory Animals), as amended.

☐ b) This project is under review by the Institutional Care and Use Committee and a revised Form CSREES-662 will be submitted when the review is completed.

☐ c) This project has been approved by the Institutional Animal Care and Use Committee on _____ (Date).

C. PROTECTION OF HUMAN SUBJECTS

☐ Project does not involve use of human subjects.

☐ Project involves use of human subjects. (Check the applicable statement).

☐ a) This project includes activities involving human subjects but can in no way be considered at risk. (If this statement is checked, the person signing this form must also initial in the space at right.) _____ (Initial)

☐ b) This project is under review by an institutional committee as provided by our assurance and a revised Form CSREES-662 will be submitted when the review is completed.

☐ c) This project includes activities involving human subjects. Our institutional committee reviewed and approved it on _____ in accordance with our assurance approved by S&E/and/or DHHS. The project will be subject to continuing review as provided for in that assurance.

SIGNATURE OF AUTHORIZED ORGANIZATIONAL REPRESENTATIVE	TITLE	DATE

CURRENT AND PENDING SUPPORT

Instructions:

1. Record information for active and pending projects. (Concurrent submission of a proposal to other organizations will not prejudice its review by CSREES)
2. All current research to which principal investigator(s) and other senior personnel have committed a portion of their time must be listed, whether or not salary for the person involved is included in the budgets of the various projects.
3. Provide analogous information for all proposed research which is being considered by, or which will be submitted in the near future to, other possible sponsors including other USDA programs.

NAME (List PI #1 first)	SUPPORTING AGENCY AND AGENCY NUMBER	TOTAL \$ AMOUNT	EFFECTIVE AND EXPIRATION DATES	% OF TIME COMMITTED	TITLE OF PROJECT
	Current:				
	Pending:				

U.S. DEPARTMENT OF AGRICULTURE

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 7 CFR Part 3017, Section 3017.510, Participants' responsibilities. The regulations were published as Part IV of the January 30, 1989 Federal Register (pages 4722-4733). Copies of the regulations may be obtained by contacting the Department of Agriculture agency offering the proposed covered transaction.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Organization Name

PR/Award Number or Project Name

Name(s) and Title(s) of Authorized Representative(s)

Signature(s)

Date

Form AD-1047 (1/92)

Instructions for Certification

1. By signing and submitting this form, the prospective primary participant is providing the certification set out on the reverse side in accordance with these instructions.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out on this form. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this form that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
7. The prospective primary participant further agrees by submitting this form that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

U.S. DEPARTMENT OF AGRICULTURE

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 7 CFR part 3017, Section 3017.510, Participants' responsibilities. The regulations were published as Part IV of the January 30, 1989, Federal Register (pages 4722-4733). Copies of the regulations may be obtained by contacting the Department of Agriculture agency with which this transaction originated.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Organization Name

PR/Award Number or Project Name

Name(s) and Title(s) of Authorized Representative(s)

Signature(s)

Date

Instructions for Certification

1. By signing and submitting this form, the prospective lower tier participant is providing the certification set out on the reverse side in accordance with these instructions.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this form that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this form that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," without modification, in all lower tier covered transaction and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

UNITED STATES DEPARTMENT OF AGRICULTURE
CERTIFICATION REGARDING
DRUG-FREE WORKPLACE REQUIREMENTS (GRANTS)
ALTERNATIVE I - FOR GRANTEES OTHER THAN INDIVIDUALS

This certification is required by the regulations implementing Sections 5151-5160 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701 *et seq.*), 7 CFR Part 3017, Subpart F, Section 3017.600, Purpose. The January 31, 1989, regulations were amended and published as

Part II of the May 25, 1990 **Federal Register** (pages 21681-21691). Copies of the regulations may be obtained by contacting the Department of Agriculture agency offering the grant.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON PAGE 3)

Alternative I

- A. The grantee certifies that it will or will continue to provide a drug-free workplace by:
- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - (b) Establishing an ongoing drug-free awareness program to inform employees about --
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
 - (e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted --
- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, State, zip code)

Check ☐ if there are workplaces on file that are not identified here.

Organization Name

Award Number or Project Name

Name and Title of Authorized Representative

Signature

Date

INSTRUCTIONS FOR CERTIFICATION AD-1049

1. By signing and submitting this form, the grantee is providing the certification set out on pages 1 and 2.
2. The certification set out on pages 1 and 2 is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
4. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
5. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph three).
6. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

"Controlled" substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

"Conviction" means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

"Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

"Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) all "direct charge" employees; (ii) all "indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

U.S. DEPARTMENT OF AGRICULTURE

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS (GRANTS) ALTERNATIVE II - FOR GRANTEEES WHO ARE INDIVIDUALS

This certification is required by the regulations implementing Sections 5151-5160 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701 *et seq.*), 7 CFR Part 3017, Subpart F, Section 3017.600, Purpose. The January 31, 1989, regulations were amended and published as Part II of the May 25, 1990 Federal Register (pages 21681-21691). Copies of the regulations may be obtained by contacting the Department of Agriculture agency offering the grant.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS BELOW)

Alternative II

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant.
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to the grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

Organization Name

Award Number or Project Name

Name(s) and Title(s) of Authorized Representative(s)

Signature(s)

Date

INSTRUCTIONS FOR CERTIFICATION

- 1. By signing and submitting this form, the grantee is providing the certification set out on page 1.
- 2. The certification set out on page 1 is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

3. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
4. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
5. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph three).
6. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

"Controlled substance" means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

"Conviction" means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

"Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

"Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) all "direct charge" employees; (ii) all "indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

**UNITED STATES DEPARTMENT OF AGRICULTURE
COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE**

**NOTICE TO APPLICANTS - CERTIFICATION/DISCLOSURE REQUIREMENTS
RELATED TO LOBBYING**

Section 319 of Public Law 101-121 (31 U.S.C.), signed into law on October 23, 1989, imposes new prohibitions and requirements for disclosure and certification related to lobbying on recipients of Federal contracts, grants, cooperative agreements, and loans. Certain provisions of the law also apply to Federal commitments for loan guarantees and insurance; however, it provides exemptions for Indian tribes and tribal organizations.

Effective December 23, 1989, current and prospective recipients (and their subtier contractors and/or subgrantees) will be prohibited from using Federal funds, other than profits from a Federal contract, for lobbying Congress or any Federal agency in connection with the award of a particular contract, grant, cooperative agreement or loan. In addition, for each award action in excess of \$100,000 (or \$150,000 for loans) on or after December 23, 1989, the law requires recipients and their subtier contractors and/or subgrantees to: (1) certify that they have neither used nor will use any appropriated funds for payment to lobbyists; (2) disclose the name, address, payment details, and purpose of any agreements with lobbyists whom recipients or their subtier contractors or subgrantees will pay with profits or **nonappropriated** funds on or after December 23, 1989; and (3) file quarterly updates about the use of lobbyists if materials changes occur in their use. The law establishes civil penalties for noncompliance.

If you are a current recipient of funding or have an application, proposal, or bid pending as of December 23, 1989, the law will have the following immediate consequences for you:

- You are prohibited from using appropriated funds (other than profits from Federal contracts) on or after December 23, 1989, for lobbying Congress or any Federal agency in connection with a particular contract, grant, cooperative agreement, or loan;
- you are required to execute the attached certification at the time of submission of an application or before any action in excess of \$100,000 is awarded; and
- you will be required to complete the lobbying disclosure form if the disclosure requirements apply to you.

Regulations implementing Section 319 of Public Law 101-121 have been published as an Interim Final Rule by the Office of Management and Budget as Part III of the February 26, 1990, **Federal Register** (pages 6736-6746).

UNITED STATES DEPARTMENT OF AGRICULTURE
COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE

**CERTIFICATION REGARDING LOBBYING - CONTRACTS, GRANTS, LOANS
AND COOPERATIVE AGREEMENTS**

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement;

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in

connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Organization Name

Award Number or Project Name

Name and Title of Authorized Representative

Signature

Date

National Environmental Policy Act Exclusions Form

Principal Investigator/Project Director Name	Institution
Address	

Under 7 CFR Part 3407 (CSREES's implementing regulations of the National Environmental Policy Act of 1969 (NEPA)), environmental data or documentation is required in order to assist CSREES in carrying out its responsibilities under NEPA, which includes determining whether proposed research requires the preparation of an environmental assessment or an environmental impact statement, or whether such research can be excluded from this requirement on the basis of several categories. Therefore, it is necessary for the applicant to advise CSREES whether the proposed research falls into one of the following Department of Agriculture or CSREES categorical exclusions, or whether the research does not fall into one of these exclusions (in which case the preparation of an environmental assessment or an environmental impact statement may be required). Even though the applicant considers that a proposed project may or may not fall within a categorical exclusion, CSREES may determine that an environmental assessment or an environmental impact statement is necessary for a proposed project should substantial controversy on environmental grounds exist or if other extraordinary conditions or circumstances are present that may cause such activity to have a significant environmental effect.

Please Read All of the Following and Check All Which Apply

☐ The proposed research falls under the categorical exclusion(s) indicated below:

Department of Agriculture Categorical Exclusions
(found at 7 CFR 1b.3 and restated at 7CFR 3407.6
(a)(1)(i) through (vii))

- ☐ (i) Policy development, planning and implementation which are related to routine activities such as personnel, organizational changes, or similar administrative functions
- ☐ (ii) Activities that deal solely with the functions of programs, such as program budget proposals, disbursements, and transfer or reprogramming of funds
- ☐ (iii) Inventories, research activities, and studies such as resource inventories and routine data collection when such actions are clearly limited in context and intensity
- ☐ (iv) Educational and informational programs and activities
- ☐ (v) Civil and criminal law enforcement and investigative activities
- ☐ (vi) Activities that are advisory and consultative to other agencies and public and private entities, such as legal counseling and representation
- ☐ (vii) Activities related to trade representation and market development activities abroad

CSREES Categorical Exclusions
(found at 7 CFR 3407.6(a)(2)(i) through (ii))

The following categories of CSREES actions are excluded because they have been found to have limited scope and intensity and to have no significant individual or cumulative impacts on the quality of the human environment:

- ☐ (i) The following categories of research programs or projects of limited size and magnitude or with only short-term effects on the environment:
 - ☐ (A) Research conducted within any laboratory, greenhouse, or other contained facility where research practices and safeguards prevent environmental impacts
 - ☐ (B) Surveys, inventories, and similar studies that have limited context and minimal intensity in terms of changes in the environment
 - ☐ (C) Testing outside of the laboratory, such as in small isolated field plots, which involves the routine use of familiar chemicals or biological materials
- ☐ (ii) Routine renovation, rehabilitation, or revitalization of physical facilities, including the acquisition and installation of equipment, where such activity is limited in scope and intensity

OR

☐ Proposed research does not fall into one of the above categorical exclusions

(NOTE: If checked, please attach an explanation of the potential environmental impacts of the proposed research.
May require completion of an environmental assessment or an environmental impact statement.)

CHECKLIST

All proposals submitted under the NRICGP must contain the applicable elements outlined in these guidelines. The following checklist has been prepared to assist in ensuring that the proposal is complete and in the proper order prior to mailing:

Application For Funding Cover Page

(Form CSREES-661)

Have all blocks been completed?

Have all principal investigators and the authorized organizational representative (when required) signed the form?

Does one copy contain pen-and-ink signatures?

Have you included a telephone number where a message may be left for you?

Table of Contents

Are page numbers included for each item?

Project Summary (Form CSREES-1232)

Has the Project Summary been included, using the form located in the back of this booklet?

Do the name and institution of all investigators appear on the form, or on the following page?

Does it include research objectives?

Does it fit within the designated box on the Project Summary Page?

Has the appropriate "Proposal Type" box been checked?

Response to Previous Review

(for resubmissions)

Has the proposal been clearly and meaningfully revised and are the revisions briefly described?

Are comments from the previous review addressed?

Project Description

Is the project fully described?

If a renewal application, is a clearly marked progress report included?

Does this section adhere to the format and page limitations, as specified?

Does this section begin as page 1, as specified?

References to Project Description

Are all references cited?

Are all citations referenced?

Do all citations contain a title and are they in accepted journal format?

Documentation from Collaborator(s), Scientific Mentor, or Host Institution (where appropriate)

Curriculum Vitae

Are vitae included for all investigators, senior associates, and other key project personnel including subcontractors (see instructions)?

Is the vitae current and pertinent?

Is the publication list complete and limited to the last five years?

Conflict of Interest List (Form CSREES-1233)

Has a list been completed for each person who must submit a CV?

Results from Prior NRICGP Support

Budget (Form CSREES-55)

Are budget items individually justified?

Are annual and summary budgets included?

Current and Pending Support (Form CSREES-663)

Have all current and pending projects been listed and summarized, including this one, for each principle investigator listed on the Application for Funding cover page (Form CSREES-661)?

Applicant Assurances (Form CSREES-662, where applicable)

Has the project been approved by necessary Institutional Review Board(s)?

Has the form been signed by the authorized organizational representative (where required)?

Applicant Certifications

It is not necessary to include the forms, as signing the Application for Funding cover page (Form CSREES-661) will suffice (see text below box 22 on this form).

NEPA (Form CSREES-1234)

Has the NEPA form in the back of this booklet been completed and included?

Addenda to Project Description

Are they limited to 2 (as described in the instructions) firmly attached to the proposal?

General

Have you contacted the appropriate Program Director to discuss the suitability of the proposed work?

Does the proposal conform to all format and page limitations and deadline requirements?

Are there an original and 14 copies (except for programs 80.1, 80.2, 80.3, which require an original and 10 copies)?

Are all copies complete?